

UNITED STATES GOVERNMENT

Memorandum

LIBRARY OF CONGRESS

TO: DCM recipients

DATE: December 30, 2005

FROM: Barbara B. Tillett, Chief
Cataloging Policy and Support Office

SUBJECT: *DCM Z1*: 64X (p. 1-13), 642 (p. 1-3), 645 (p. 1-4), 670 (p. 2-10),
7XX (p. 1-2), Appendix 1 (p. 2-15), Appendix 2 (p. 4-10)

Listed below are the revised **yellow** pages (*DCM Z1*) with a summary of the changes in content.

- 64X: added information about SARs created by Casalini libri; added instructions about modifying SARs when LC's selection decision changes; clarified that "\$5 DPCC" should not be added to existing SARs

- 642: clarified that "\$5 DPCC" should not be added to existing SARs
- 645: clarified that "\$5 DPCC" should not be added to existing SARs
- 667: added procedural information on earlier/later linear jurisdictional name changes

- 670: deleted information on "name not given;" added information on use of subfield \$u; fixed display of degree symbol in printed version of *DCM Z1*

- 7XX: updated last paragraph to delete information that LAC is only institution to contribute these fields in anticipation of other institutions doing so

- Appendix 1: Headings for Ambiguous Entities: added categories "forests and parks" and "helplines hotlines"; changed tag for tribes as legal entities; corrected obsolete citations for Z11 to Z1

- Appendix 2: Canadian Headings: added information regarding the status quo for names of Canadian First Nations and Canadian forests and parks.

Also issued in this update package was one **blue** pages (*LC Guidelines Supplement to the MARC 21 Format for Authority Data*) listed below with an indication of the changes in content.

- 670: added information on use of subfield \$u

64X Series Treatment - General Information

This 64X section covers the following topics:

- National-level PCC default decisions for newly-established SARs for monographic series and multipart items
 - General policy
 - Recording LC local and PCC local treatment decisions in new SARs
 - Recording LC local and PCC local treatment decisions in existing SARs
 - Existing SARs and non-LC analytic records
 - SARs for serials other than monographic series
- LC local practice -- general policy
- LC local practice -- specific situations
 - Technical report series
 - Series not needing analysis
 - Multipart items not needing analysis
 - Serial record for monographic series classified as a collection
 - Serial analytic
 - Agricultural experiment station publications
 - Creating series authority records for other libraries
 - Document series in general
 - United Nations documents
 - Numbered treaty series
 - Change in selection decision
- “DLC” code plus letter or letters in subfield \$5
- Republications
- Document series in general
- U.S. federal document series
- United Nations documents
- Treaty series
- BIBCO tracing practice

Also see specific 64X yellow pages.

National-level PCC default decisions for newly-established SARs for monographic series and multipart items

General policy

To encourage the contribution to shared databases of the greatest number of bibliographic records with the most specific classification, the LC/PCC national-level default treatment decisions will be “analyzed in full, traced, classified separately.”

LC or any other PCC library can vary from the default analysis or classification practice for reasons of local needs/preferences/resources. If LC or any other BIBCO library varies from the national default classification practice, any resulting analytic record may be a BIBCO record without a “class separately” number also being supplied. If an analytic record is created, the default tracing practice is mandatory.

(*Note:* BIBCO libraries may opt not to create an SAR for an unestablished series when cataloging a bibliographic record at the core level; see the separate topic “BIBCO tracing practice” at the end of this 64X section for the handling of established/non-established series in BIBCO full and core records.)

The national level tracing decision information is given in two fields in the SAR: field 645 (tracing) and, when appropriate, field 642 (form of number in added entry) to ensure consistent access points. The use of the MARC 21 organization code “DPCC” (for the Program for Cooperative Cataloging) in subfield \$5 of those two fields indicates that the information applies at the national level. See the yellow pages for the 642 and 645 fields for specific information.

The “DPCC” code will not be given in subfield \$5 in either field 644 (analysis) or field 646 (classification).

Recording LC local and PCC local treatment decisions in new SARs

Because LC does not have a local authority file, LC will also include its MARC 21 identification code “DLC” to indicate its local treatment decisions in all treatment fields in all SARs it creates.

A PCC participant has the option to include its own MARC 21 identification code in treatment fields in SARs it creates to show that it is following the national default decisions or, by exception, is varying from those default decisions in whole or in part.

Recording LC local and PCC local treatment decisions in existing SARs

LC will always add its local treatment decisions in all treatment fields in SARs created by PCC participants when processing items represented by those SARs.

LC treatment decisions as predicted/recorded in the SAR by PCC participants during an earlier period are not to be reconsidered at LC unless the publication fits the criteria noted in the sections “Series not needing analysis” and “Multipart items not needing analysis” found later in these 64X pages.

A PCC participant has the option to add its local treatment decisions to any SAR created by LC or by another PCC participant if another PCC participants’ treatment decisions are not already in the SAR. PCC participants should not predict LC treatment decisions. The exception is Italian book vendor Casalini libri (MARC 21 code ItFiC). Casalini has been trained in LC practice and is providing cataloging according to that practice; therefore, Casalini uses “\$5 DLC” in combination with “\$5 DPCC” to indicate that LC indeed holds an item in the series and that the treatment decisions reflect LC practice.

Existing SARs and non-LC analytic records

SARs with an LC decision not to analyze and, therefore, not to trace represent only LC's local decision. (LC will continue to apply this local decision to certain categories of publications.) Such an LC decision does not prohibit another library from analyzing and tracing. It is not necessary to modify such SARs to add PCC tracing policy if it is not present; LC will not add the \$5 DPCC to these SARs. Analytic records (either full or core) may be coded as BIBCO records if the series are traced.

SARs created before Sept. 1, 1989, with an LC decision to analyze in full but not to trace should not be modified to add PCC tracing policy. The LC decision not to trace will be followed by BIBCO participants so that analytic records in a shared database will be consistent in the lack of traced series. Analytic records (either full or core) may be coded as BIBCO records even though the series are not traced.

SARs created between September 1989 and mid-November 1998 (when “DPCC” code began to be added to new SARs) should not be modified to add PCC tracing policy. Analytic records (either full or core) may be coded as BIBCO records if the series are traced.

SARs for serials other than monographic series

Note: The national-level default treatment decisions for analysis and classification do not apply to SARs for serials other than monographic series (008/12 = z). The

decision to analyze an issue or issues of such a serial is a local decision. If LC makes/modifies an SAR, LC will include its local treatment decisions with “DLC” in subfield \$5. The PCC participant can input its local decisions with its own MARC 21 code if it chooses. The presence of either LC’s or a PCC participant’s code in such an SAR does not mean that another library must follow the analysis or classification decision recorded. However, if an analytic record is created, the default tracing practice is mandatory.

History of LC/PCC treatment decisions recorded in SARs

Before August 1995, PCC participants could omit treatment fields, give treatment only for the PCC library or only for LC, or give treatment for both the PCC library and LC. At point of contribution, SARs created by PCC participants from August 1995-March 1998 lacked LC treatment decisions. From April to mid-November 1998, PCC participants included an LC tracing practice to serve as the national-level tracing decision for the tracing of series in BIBCO records. Beginning in mid-November 1998, both LC staff and PCC participants indicate national-level tracing decisions, using the MARC 21 organization code “DPCC” in subfield \$5 of the 642 and 645 fields.

LC local practice -- general policy

The default treatment decision for new monographic series is to classify each volume separately, analyze each volume, and trace the series on each analytic record (i.e., 644 \$a = f, 645 \$a = t, 646 \$a = s). Record in the 642 field the form of numbering to be used in the tracing. For any specific series, a cataloger may decide to analyze each volume and trace the series on each analytic record but classify all the volumes as a collection (646 \$a = c) if the scope of the series is very narrow. Also see section “Series not needing analysis” below and “Appendix for LC staff” for the processing of technical report series for exceptions to this default treatment decision.

For monographic series considered new because a successive entry is appropriate, generally carry forward the existing treatment decision from the earlier SAR. If the earlier series was classified as a collection, obtain a new LC retention decision for the series as a whole from the serial selection officer.

For analyzable multipart items, the default treatment decision applies to analysis and tracing: analyze each volume and trace the multipart item on each analytic record (i.e., 644 \$a = f, 645 \$a = t). The person doing the descriptive cataloging decides if the multipart item is analyzable; the classification decision for analyzable multipart items is made within the team according to the guidelines in the 646 yellow page. Record in the 642 field the form of numbering to be used in the tracing. No SAR is made for non-analyzable multipart items

because only collected set records can be made. Also see section “Multipart items not needing analysis” below.

When reestablishing a monographic series or multipart item for AACR2, determine the pre-AACR 2 treatment. The AACR 2 treatment decisions would be the default decisions; record in separate fields any pre-AACR 2 treatment that varies from the current default decisions. However, carry over the previous classification practice (646 field). For monographic series classified as a collection, generally do not attempt to record here changes of analysis practice previous to AACR 2 as this information is usually not available. However, if the information becomes available incidentally, e.g., when the manual catalog was consulted for some other reason, record here also the pre-AACR 2 analysis practice. If more than one practice was used (e.g., for a period the series was not analyzed and then analyzed in full or in part), indicate the previous decision as “in part.” For multipart items classified as a collection, record the pre-AACR 2 analysis practice if this differs from the AACR 2 analysis practice and if this information is easily deduced from the available data. (See also the 644 yellow page for information concerning analysis practice.)

The general policy for treating serials other than monographic series (008/12 = z) is to classify as a collection with no analytic records. Normally, do not make SARs for such serials. However, if there is confusion as to the status of the publication (whether it is a monographic series or another kind of serial), make an SAR and record the standard treatment of 644 \$a = n, 645 \$a = n, 646 \$a = c. If, by exception, an issue of such a serial has been or is to be analyzed, the general decision of not analyzing the volumes is not changed; the exception is recorded in the 644 field (see 644 field). Then, give 645 \$a = t and record in the 642 field the form of numbering used in the tracing.

If only one issue or a few issues of a serial other than a monographic series is/are to be acquired and analyzed, make an SAR and give the following treatment: 644 \$a = f, 645 \$a = t, and 646 \$a = s; record in the 642 field the form of numbering used in the tracing. Include the note “Full serial not to be acquired in LC” in a 667 field. (Confirm the acquisition decision with the serial selection officer.)

LC local practice -- specific situations

Technical report series

The “technical report” workflow at LC handles brief, unbound items in a numbered series published outside the United States in a roman alphabet language or in Japanese, which comprises an interim report of ongoing research in the general areas of science and technology. (Works in the “soft” sciences and social sciences are generally excluded.) The report is usually of immediate research value only and is often superseded by a journal article or other more formal publication. Items not treated as technical reports include periodicals,

unnumbered series, monographs issued in parts, reprints on clinical medicine and agriculture. (Print copies of technical reports published in the U.S. are cataloged and housed in the general collection; the Science, Technology, and Business Division's collection of U.S. technical reports is on microfiche.) See Z1 "Appendix for LC staff" for the processing of technical report series.

Series not needing analysis

In response to the demands on resources of staff and time, catalogers should try to identify those series that don't need to be analyzed. Perhaps it is the fact of the existence of the publication (rather than the individual issues) or the recognition of the issuing body that is important. Perhaps the subject matter is so limited that the same classification number and subject headings would be assigned to analytics as to a collected set record. Perhaps the series is self-indexed or indexed by another publication. See DCM Z1 "Appendix for LC staff" for procedures appropriate to not analyzing some monographic series.

Multipart items not needing analysis

A cataloger may decide that some analyzable multipart items should not be analyzed because the distinctive titles are not important enough to be represented by separate analytic records. Create a collected set record and give title information for individual volumes in a contents note. Make an SAR for the multipart item: 644 \$a = n, 645 \$a = n, 646 \$a = c. Apply this treatment decision to those multipart items that meet all four of the criteria below:

- (1) multipart item is new to the Library; and
- (2) cataloger has or knows about all/most of the volumes; and
- (3) separate records for all volumes would have had same main entry; and
- (4) scope of multipart item is not broad.

Serial record for monographic series classified as a collection

Monograph catalogers: whenever (1) a classified-as-a-collection monographic series is established or reestablished and there isn't a record for the series in the LC Database, or (2) a monographic series formerly classified separately is changed to classified as a collection, send an SAR printout and the volume(s) with a referral slip (6-127 (3/92)) to Cataloging Sections, Serial Record.

Serial catalogers: amalgamate with an unauthenticated record on OCLC or input a new record if necessary.

Serial analytic

Serial catalogers: whenever a serial or subseries in a numbered monographic series classified as a collection in LC is represented by an unauthenticated record on OCLC, also

update/authenticate the OCLC record for the main series. Input a new record if necessary.

Agricultural experiment station publications

Usually, LC does not add publications from agricultural experiment stations to its collections. However because some volumes of such publications address topics beyond the work of the experiment station itself (e.g., the economy of the area), some volumes may be selected for the collections. The series should be established using the default decision (644 \$a = f, 645 \$a = t, 646 \$a = s). Send any volumes to CPSO if you think they shouldn't be cataloged.

Creating series authority records for other libraries

When inputting an SAR for another library (e.g., for a CONSER library, for a library on contract), include the "DPCC" code in the 642 and 645 fields. Do not give any LC treatment decisions.

Document series in general

See "LC practice" segment of separate section below on document series.

United Nations documents

See "LC practice" segment of separate section below on United Nations documents.

Treaty series

For numbered treaty series, see "LC practice" segment of separate section below on treaty series.

Change in selection decision

If LC is no longer acquiring the series, delete LC's treatment decisions and give information about the change in a 667 note (see 667 yellow pages). If LC's decisions are the only ones in the SAR, delete the 642, 644-646 fields.

"DLC" code plus letter or letters in subfield \$5

LC catalogers who work in OCLC and in RLIN (serial and JACKPHY catalogers in Washington, catalogers in some overseas offices) use macros for creating authority records. The macros generate the subfield \$5 information in the 642, 644-646 fields in SARs based on the library symbol used in the 040 field. Consider that a subfield \$5 code that consists of "DLC"

plus a letter or letters (DLC-R, DLC-ON, DLC-S, etc.) has the same meaning as “DLC.” Do not change the subfield \$5 form to “DLC.”

Republications

Do not consider a republication to be in the original series if the original series statement has been omitted. The information can be given in a note on the bibliographic record. (See also LCRI 2.7B7.)

Photoreproduction, microform, and other republications are represented on the SAR for the original. If the 642, 644-646 treatment decisions for the republication are the same as for the original, add a second subfield \$5 to each of those fields. If the treatment decision for the republication is not the same as for the original, use separate treatment fields with each having its specific subfield \$5. Use “DLC photo-offset reprint” in the subfield \$5 for a photoreproduction. For other republications, use a term appropriate to the republication in hand, preceding the term with “DLC” in subfield \$5: DLC microfiche, DLC large print edition, etc. If the treatment fields for the republication are not the same as for the original, give the treatment field for the original before the treatment field for the republication. Always use a separate field for the republication if the same field for the original shows a change of decision.

```

646   $a s $5 DLC $5 DLC photo-offset reprint
050   $a _____ $b _____
646   $a c $5 DLC
646   $a s $5 DLC microfiche

050   $a _____ $b _____
646   $a s $d no. 78- $5 DLC
646   $a c $d no. 1-77 $5 DLC
646   $a s $5 DLC large print edition

```

If only a republication is in hand and no SAR exists for the original even though the original is in the collection, either create a SAR for both the original and the republication or create an SAR only for the republication. If the original is not in the collection, create an SAR only for the republication.

The inclusion of 643 and 670 fields for the republication is dependent on whether the SAR is for one or more republications or is for the original and one or more republications. (Until April 1998, 643 and 670 fields were required for each type of republication and for each publisher/manufacturer of republications on all SARs; do not delete any 643 and 670 fields for republications on SARs for the original and republication(s) created before April 1998.)

- (1) Creating a new SAR for only a republication:

(a) In the 643 field, indicate in subfield \$d the type of republication of the item for which the SAR is being made.

(b) Begin the 670 field with the term for the type of republication and a slash.

```

642   $a no. 1 $5 DPCC photo-offset reprint $5 DLC photo-
      offset reprint
643   $a [Place of republication] $b [Publisher/Manufacturer
      of republication] $d photo-offset reprint
644   $a f $5 DLC photo-offset reprint
645   $a t $5 DPCC photo-offset reprint $5 DLC photo-offset
      reprint
646   $a s $5 DLC photo-offset reprint
670   $a Photo-offset reprint/[Title], [date]: $b [source]
      ([usage])

```

(2) Creating a new SAR for both the original and a republication:

(a) Do not include a 643 field for the publisher/manufacturer of the republication.

(b) Do not include a 670 field for the republished item.

```

050   $a _____ $b _____
642   $a no. 23 $5 DPCC $5 DLC $5 DPCC photo-offset reprint
      $5 DLC photo-offset reprint
643   $a [Place of original] $b [Publisher of original]
644   $a f $5 DLC $5 DLC photo-offset reprint
645   $a t $5 DPCC $5 DLC $5 DPCC photo-offset reprint $5
      DLC photo-offset reprint
646   $a c $5 DLC
646   $a s $5 DLC photo-offset reprint
670   $a [Title of original], [date]: $b [source] ([usage])

```

(3) Adding a republication to an existing SAR:

(a) Add treatment decisions for the republication.

(b) Do not add 643 and 670 fields for the republication.

(c) Do not delete any existing 643 and 670 fields for any republication(s).

Example showing addition of photoreproduction to existing SAR for original:

```

642   $a no. 1 $5 DLC $5 DLC photo-offset reprint
643   $a [Place of original] $b [Publisher of original]

```

```

644 $a f $5 DLC $5 DLC photo-offset reprint
645 $a t $5 DLC $5 DLC photo-offset reprint
646 $a s $5 DLC $5 DLC photo-offset reprint
670 $a [Title of original], [date]: $b [source] ([usage])

```

Example showing addition of large print edition republication to existing SAR for photoreproduction:

```

642 $a no. 1 $5 DLC photo-offset reprint $5 DLC large
    print edition
643 $a [Place of reproduction] $b [Publisher of
    reproduction] $d photo-offset reprint
644 $a f $5 DLC photo-offset reprint $5 DLC large print
    edition
645 $a t $5 DLC photo-offset reprint $5 DLC large print
    edition
646 $a s $5 DLC photo-offset reprint $5 DLC large print
    edition
670 $a Photo-offset reprint/[Title], [date]: $b [source]
    ([usage])

```

Example showing addition of microfilm republication to existing SAR for original and photoreproduction created before April 1998 (when 643 and 670 fields were still required for any republication added to SAR for original):

```

642 $a no. 1 $5 DLC $5 DLC photo-offset reprint $5 DLC
    microfilm
643 $a [Place of original] $b [Publisher of original]
643 $a [Place of reproduction] $b [Publisher of
    reproduction] $d photo-offset reprint
644 $a f $5 DLC $5 DLC photo-offset reprint $5 DLC
    microfilm
645 $a t $5 DLC $5 DLC photo-offset reprint $5 DLC
    microfilm
646 $a s $5 DLC $5 DLC photo-offset reprint $5 DLC
    microfilm
670 $a [Title of original], [date]: $b [source] ([usage])
670 $a Photo-offset reprint/[Title], [date]: $b [source]
    ([usage])

```

Document series in general

Definition of “document” = “Any publication bearing a government imprint or a statement that it has been published at government expense.” This definition is to be interpreted to include international organizations consisting of national governments, e.g., United Nations, World Health Organization, International Labour Office, etc. Note that publications of institutions created or controlled by a government (universities, colleges, museums, observatories, hospitals, libraries, institutes, etc.) are not to be considered documents. However, publications of agricultural experiment stations are to be considered documents. When in doubt,

consider an item to be a document.

The above criteria are applicable only when establishing or reestablishing series headings; they are not to be used in any other context.

LC practice:

The cataloger determines whether an item is to be treated as a document unless the item has already been slipped as a document.

If the first item of a new document series received in LC is not to be analyzed, it is sent to the Cataloging Sections, Serial Record Division. Create a collected set record; create an SAR with 644 \$a = p, 645 \$a = t, 646 \$a = c, 642, and a 667 of "Document."

If the first item of a new document series received in LC is to be analyzed, it is sent to a monograph cataloging team. Create an SAR using the default treatment decision; include a 667 of "Document." If no analytics are found but a collected set record exists in the LC Database, 644 \$a = p. Follow the same guideline if a document series is being reestablished.

U.S. federal document series

As of May 2000, LC and PCC participants may create SARs for U.S. federal document series without contacting the Government Printing Office (GPO) Library. GPO will change any heading as needed and will add its symbol in an 040 \$d when it uses an SAR for the first time.

United Nations documents

Establish new UN document series according to normal procedures for document series. Give the UN document number as a quoted note on the analytic record.

LC practice:

Under pre-AACR 2 practice, the UN document number was used to create a series heading for UN documents; this made-up series was classified as a collection with call number JX1977.A2. Any series appearing on UN publications was treated as a subseries of the made-up document series and classified with that main series.

When reestablishing a true series formerly classified as part of the made-up main series, treat the true series as new with following additions and changes:

- (1) Normally give the current and previous classification practices and the call number for the previous practice:

```
050    $a JX1977 $b .A2 subser. $d items cataloged
       before Jan. 1, 1981
646    $a s $d items cataloged after Dec. 31, 1980 $5
```

DLC
 646 \$a m \$d items cataloged before Jan. 1, 1981 \$5
 DLC

Exception: if searching results show that the series was at one time classified as a collection with its own call number (e.g., the series is a serial and the serial collected set record shows that earlier issues had their own call number), give a single 646 with value **c** in subfield \$a and give that call number in 050 field.

- (2) Give note in 667 field: "Previous to AACR 2 subsumed under made-up set for UN documents."
- (3) Do not change existing bibliographic records which show the item as part of the made-up document series classified in JX1977.A2.

When adding a part to a collected set record for a multipart item, update the record. Delete the series statement and added entry for the made-up document set; reclassify the item.

Treaty series

If the main entry is the jurisdiction promulgating the treaties, in subfield \$t use "Treaties, etc." and the title proper of the series as a qualifier.

110 \$a United States. \$t Treaties, etc. (Treaties and other international acts series)

LC practice:

The policy for numbered treaty series is to classify them as collections with no analytic records produced (644 \$a = n, 645 \$a = n, 646 \$a = c).

If some issues of such a series have been analyzed, record both the new analysis practice of 644 \$a = n and the former analysis practice of 644 \$a = f. Use processing dates as the cut-off for the change in analysis practice (see 644 field). Record in the 642 field the form of numbering used in the tracing.

BIBCO tracing practice

SAR already exists in the national authority file

- If the SAR was established before September 1989 and LC's 644 has value **f** and LC's 645 has value "n," do not trace the series; code the bibliographic record (either full or core) as a BIBCO record. Do not add the "DPCC" 642/645 fields to an existing SAR.

- If the SAR other than one described in the previous category
 - has 645 value “t” with any subfield \$5, trace the series and code the bibliographic record (either full or core) as a BIBCO record. Do not add the “DPCC” 642/645 fields to an existing SAR;
 - has only LC's 644 of “n” and LC's 645 of “n,” trace the series and code the bibliographic record (either full or core) as a BIBCO record. Do not add the “DPCC” 642/645 fields to an existing SAR;
 - lacks a 645 field, trace the series and code the bibliographic record (either full or core) as a BIBCO record. Do not add the “DPCC” 642/645 fields to an existing SAR.

SAR doesn't exist in the national authority file

For a full-level bibliographic record:

- contribute an SAR* to the national authority file, and
- trace the series in the analytic record.

For a core-level bibliographic record,

either:

- contribute an SAR* to the national authority file, and
- trace the series in the analytic record;

or:

- don't contribute an SAR to the national authority file, and
- don't trace the series in the analytic record.

* New SAR would have “\$5 DPCC” in 642 and 645 fields.

If a BIBCO participant chooses not to follow the guidelines stated above, do not code the resulting analytic records as BIBCO records.

642 Series Numbering Example

Consult AACR 2 1.6G and LCRI 1.6G concerning choice of numbering designation.

Determine the form of numbering from the item in hand (not necessarily the first item of the series) and then use that form in tracing all items in the series. When reestablishing a series, change any subfield \$v forms in access points in existing analytic records that don't match the form in the 642 field.

If the only number found on the item is the number in the series statement within the CIP data, ignore that number and consider the series to be unnumbered. *LC practice:* However, if the series is already established and the classification decision (646) is value “c” (classified as a collection) or value “m” (classified with main or other series), use that number.

If at the time of reestablishing a series, analytic records in the database show that the series is both numbered and unnumbered but the item in hand is unnumbered, determine the form of number to be used in the tracing from the records in the database and record the earliest number in the 642 field. Also add in a 670 field the citation of the analytic bibliographic record on which the form of number is based; include the number in the parenthetical data in the subfield \$b.

If the analytic being cataloged is a multipart item that represents more than one volume in the series (e.g., the two volumes of the multipart item are numbers 17 and 18 of the series), record only one number in the 642 field; do not use a sequence of numbers.

When an analyzable multipart item is classified with another series (646 \$a = m), the number recorded at the end of the call number in the 050 field will not be the number found in the 642 field. The number found in the 050 field is the number of the “other series” found on the item in hand. (See 050 yellow page.)

When wording such as “new ser.” has been supplied in brackets with the numbering in the bibliographic record 4XX subfield \$v (cf. AACR2 1.6G1), include the brackets in the 642 field being added to the SAR:

e.g., 642 \$a [new ser.], no. 1

Serial catalogers: include the 642 field even though subfield \$v usually doesn't appear in 4XX/8XX of serial analytic records.

Recording national-level, Library of Congress, and PCC local decisions for form of numbering

The national-level decision for form of numbering is to be followed by LC and those libraries creating BIBCO records. The MARC 21 organization code used for this national-level decision in subfield \$5 is “DPCC” (PCC = Program for Cooperative Cataloging). LC staff and

PCC participants should include the national-level and local decisions in SARs according to the following guidelines.

LC staff: new SAR

(1) Always include the national-level decision for form of numbering for a numbered monographic series, multipart item, or other series (serial) regardless of LC's local tracing decision. Determine the form of number according to usual rules/policies. The field is in templates in the LC Database and will be supplied as part of the macro invoked when creating an SAR using the LC ILS authority generation feature.

642 \$a [form of number] \$5 DPCC

(2) If LC's local tracing decision is to trace, add "DLC" as the second subfield \$5 in the one 642 field.

642 \$a [form of number] \$5 DPCC \$5 DLC

LC staff: existing SAR

(1) If the national-level decision is not in the SAR, do not add it.

(2) If LC's local tracing decision is to trace, add "\$5 DLC" to an already-existing 642 field; if a 642 field isn't present, add the field with "\$5 DLC."

642 \$a [form of number] \$5 DPCC \$5 DLC
 642 \$a [form of number] \$5 DPCC \$5 DLC \$5 WaU
 642 \$a [form of number] \$5 DLC \$5 IRA
 642 \$a [form of number] \$5 DLC

(examples represent single fields in different SARs; "DPCC" already in the first and second SARs)

PCC participants: new SAR

(1) Always include the national-level decision for form of numbering for a numbered monographic series, multipart item, or other series (serial) regardless of your local tracing decision. Determine the form of number according to usual rules/policies.

642 \$a [form of number] \$5 DPCC

(2) If your local tracing decision is to trace, optionally add your MARC 21 organization code as the last subfield \$5 in the one 642 field.

642 \$a [form of number] \$5 DPCC \$5 CoDU

PCC participants: existing SAR

(1) If the national-level decision is not in the SAR, do not add it. |

(2) If your local tracing decision is to trace, optionally add your MARC 21 organization code as the last subfield \$5 in an already-existing 642 field. Note: only one PCC participant may include a form of numbering decision in an SAR. If a 642 field isn't present, optionally add the field with your MARC 21 organization code in subfield \$5.

642 \$a [form of number] \$5 DPCC \$5 CoDU
 642 \$a [form of number] \$5 DPCC \$5 DLC \$5 IRA
 642 \$a [form of number] \$5 DLC \$5 IRA
 642 \$a [form of number] \$5 WaU

(examples represent single fields in different SARs; "DPCC" already in the first and second SARs) |

645 Series Tracing Practice

National-level PCC tracing decision for all newly-established SARs for series, multipart items, and other series (serial) = “trace.”

See the section “BIBCO tracing practice” in the 64X yellow pages for guidelines about tracing when the SAR is already in the national authority file.

LC policy for tracing practice

All newly-established analyzed series and analyzed series being reestablished are traced (LCRI 21.30L). All analyzed multipart items are traced. If the series was untraced prior to AACR 2, do not revise pre-AACR 2 bibliographic records to trace the series.

Before September 1, 1989, some categories of series were untraced. Generally do not reconsider the tracing practice for an established series. If the tracing practice for an established series is changed from untraced to traced, revise AACR 2 analytic records to trace the series but do not revise pre-AACR 2 analytic records.

When reestablishing a series that was untraced prior to AACR 2, always give two 645 fields, using the AACR 2 implementation date (regardless of the date of creating the SAR):

```
645 $a t $d items cataloged after Dec. 31, 1980 $5 [code]
645 $a n $d items cataloged before Jan. 1, 1981 $5 [code]
```

Do not add series tracings to pre-AACR 2 records when a new heading now considered to be a series was previously considered to be a phrase; include in the SAR a 667 field: “Considered a phrase previous to AACR 2.” Do not add series tracings to existing pre-AACR 2 and AACR 2 records when new information causes a change in existing decision from phrase to series; add a 667 field to the existing SAR: “Considered a phrase prior to [current date].”

Even if only one/few volume(s) of a series or a serial other than a monographic series is analyzed, the 645 \$a = t.

Recording national-level, Library of Congress, and PCC local tracing decisions

The national-level tracing practice, to be followed by those libraries creating BIBCO records, is separate from the local tracing practice at the Library of Congress or at any PCC institution. The national-level tracing decision always will be to trace. The MARC 21 organization code used for this national-level decision in subfield \$5 is “DPCC.” LC staff and PCC participants should include the national-level and local decisions in SARs according to the

December 2005

645
1

following guidelines.

LC staff: new SAR

(1) Always include the national-level decision to trace in any new SAR created for a monographic series, multipart item, or other series (serial) regardless of LC's local tracing decision. The field is in templates in the LC Database and will be supplied as part of the macro invoked when creating an SAR using the LC ILS authority generation feature.

645 \$a t \$5 DPCC

(2) If LC's tracing decision is to trace, add “DLC” as the second subfield \$5 in the one 645 field.

645 \$a t \$5 DPCC \$5 DLC

(3) If LC's tracing decision is not to trace because LC's analysis decision is “not analyzed,” give two 645 fields with LC's decision in a second 645 field.

two fields in one SAR:

645 \$a t \$5 DPCC

645 \$a n \$5 DLC

LC staff: existing SAR

Add LC's local tracing decision. A PCC participant's local tracing decision may already be in the SAR.

(1) If the national-level decision is not in the SAR, do not add it.

(2) If LC's tracing decision is to trace, add “\$5 DLC” to an already-existing 645 field; if a 645 field isn't present, add the field with “\$5 DLC.”

645 \$a t \$5 DPCC \$5 DLC

645 \$a t \$5 DPCC \$5 DLC \$5 IRA

645 \$a t \$5 DLC \$5 WaU

645 \$a t \$5 DLC

(examples represent single fields in different SARs; “DPCC” already in the first and second SARs)

(3) If LC's tracing decision is not to trace because LC's analysis decision is “not analyzed,” give LC's decision in a second 645 field if a 645 for a “traced” decision is present. If a 645 field isn't present, add the field with “\$5 DLC.”

two fields in one SAR:

645 \$a t \$5 DPCC \$5 CoDU
 645 \$a n \$5 DLC

single field in one SAR:

645 \$a n \$5 DLC

PCC participants: new SAR

(1) Always include the national-level decision to trace in any new SAR created for a monographic series, multipart item, or other series (serial) regardless of your local tracing decision.

645 \$a t \$5 DPCC

(2) Optionally, add your own local decision.

(a) If your decision is to trace, add your MARC 21 organization code as the last subfield \$5 in the one 645 field.

645 \$a t \$5 DPCC \$5 IRA

(b) If your decision is not to trace, give two 645 fields with your decision in a second 645 field.

two fields in one SAR:

645 \$a t \$5 DPCC
 645 \$a n \$5 WaU

PCC participants: existing SAR

(1) If the national-level decision is not in the SAR, do not add it.

(2) Optionally, add your local tracing decision. Note: only one PCC participant may include a local tracing practice in an SAR.

(a) If your decision is to trace, add your MARC 21 organization code to an already-existing 645 field with decision to trace; if a 645 field isn't present, add the field with your MARC 21 organization code in subfield \$5.

645 \$a t \$5 DPCC \$5 WaU
 645 \$a t \$5 DPCC \$5 DLC \$5 CoDU
 645 \$a t \$5 DLC \$5 CoDU
 645 \$a t \$5 IRA

(examples represent single fields in different SARs; "DPCC"
 already in the first and second SARs)

(b) If your decision is not to trace, give your decision in a second 645 field if a 645 for a “traced” decision is present. If a 645 field isn't present, add the field with your MARC 21 identification code in subfield \$5.

two fields in one SAR:

645 \$a t \$5 DPCC
645 \$a n \$5 IRA

single field in one SAR:

645 \$a n \$5 WaU

Note that the examples given throughout the following text have different conventions in regard to punctuation and style; unless a specific direction is given in the text, these conventions are not prescriptive. Catalogers are expected to use judgment and common sense. Punctuation and style need not be consistent from record to record as long as the information is clear and accurate.

Generally, the first 670 field is the work for which the heading is being established, the “work cat;” give subsequent 670 fields in any order, adding new fields after existing ones. Do not routinely delete or change existing 670 fields, input by LC or by a NACO participant, when adding new 670 fields.

Note that it is not always necessary to include a 670 field for every reference source consulted; use judgment in deciding what sources are important enough to retain in the permanent authority record. For example, an NAR does not serve as a biographical sketch of a person, nor as an account of the detailed history of a corporate body.

A 670 field should include the following:

- (1) The title of the work being cited, complete enough for later identification in an online catalog. Abbreviations and ellipses may be used. Precede a generic or indistinctive title with an indication of the main entry of the work, which may also be abbreviated or in a NAR be replaced by a pronoun; if the main entry is the same as the title proper plus a qualifier, give the uniform title main entry instead of the title proper.

In authority records created using an automated authority generation program, the 670 information may include the main entry name as it appears in the bibliographic record for which the authority record is being made. In order to maintain the cost effectiveness of this process, it is recommended that catalogers accept the additional information as generated.

- (2) The date of publication. Also see the guidelines below for specific categories:

- Multipart items. If the part is the first part, give the date of publication as an open date.
- Serials other than monographic series. Generally, use a chronological designation instead of a publication date; if there is no designation date, use the numeric designation and the date of publication. Indicate, following the designation statement, if a “surrogate” was used.

670 \$a The Verdict, Feb. 1975: \$b t.p. ([data])
not 670 \$a The Verdict, vol. 2, no. 1 (Feb. 1975): \$b
 t.p. ([data])

670 \$a Studies in Confederate history, No. 1 (1966),
 surrogate \$b cover ([data])

not 670 \$a Studies in Confederate history, 1966,
 surrogate \$b cover ([data])

• Integrating resources. Identify the iteration from which information was taken (e.g., “viewed on” dates for updating Web sites, update number or release number for updating loose-leafs).

670 \$a Internet Broadway database, viewed on Jan. 21,
 2003: \$b about IBDB (League of American Theatres
 and Producers)

- (3) The specific location(s) of the information found (e.g., t.p., jkt., label, map recto) when the work cited is other than a standard reference source, (e.g., an encyclopedia or a bibliographic file). For numbered multipart items, include the volume number of the item with the specific location. *LC practice*: If the heading is being established from a CIP at the galley stage, precede the first location with the word CIP, e.g., CIP t.p., CIP pref.

Specific location was not given on “n42-” (retrospective) SARs.

For NARs, generally, use “etc.” to avoid giving more than two locations or a sequence of locations (e.g., p. 316, etc., for p. 316-325, 329-331, 342). For SARs, always give each location separately.

- (4) Information found. Following the location, cite the information found there, enclosed in parentheses. Automated authority record generation programs may supply additional information from the bibliographic record from which the authority record is being made, e.g., complete statements of responsibility. In order to maintain the cost effectiveness of these programs, use judgment in deciding what information can remain in the subfield \$b and what is really extraneous to the record being created and should be deleted.

As appropriate, give multiple occurrences of information from the same source following the location of the information. (Note: In SARs the parenthetical statement of the form of title proper was omitted until June 1989.)

If an SAR is for a republication only, begin the 670 with the term for the type of republication and a slash. Do not include a 670 for a republication if the SAR covers both the original and one or more republications. Do not add additional 670 fields for other types of republications cataloged later. (See 64X yellow

pages for more information about republications.)

670 \$a Large print edition/Fool's coach, c1989 \$b CIP
t.p. (An Evans novel of the West)

Transcription of names and titles

Transcribe names or series titles used in the heading or references in full, as they appear in the source, without abbreviation by the cataloger.

For titles that are not series (cf. Introduction Page 2 on when an NAR for these titles is needed), generally transcribe only titles that are considered important to document.

When preparing an authority record for the text of a law (AACR2 rule 25.15A2) or a subject compilation of laws (AACR2 25.15A1), if a source being cited contains an official short title or citation title, cite that title, preceded by the term "citation title" and its exact location, e.g.

670 \$a Workers' compensation law of the state of North Carolina,
c1980: \$b t.p. (Workers' compensation law of the state of
North Carolina) citation title, p. 49 (The North Carolina
Workers' Compensation Act)

For corporate headings, include in the data cited all the hierarchy required to justify needed references, but do not include elements irrelevant to the particular heading being established, e.g., subordinate body's name. Automated authority generation programs may supply additional information beyond the specific corporate body's name; use judgment in deciding what information (e.g., subordinate body's name) is extraneous to the record being created and should be deleted.

For all of the above categories, if the only expression of the name or title on the chief source of information is in the bibliographic title given in subfield \$a of the 670 citation, repetition of the name in subfield \$b may be omitted, provided no important information is lost.

If information about an earlier/later name or title is found in the same source as the name or title in the heading, give all the information in the 670 field; do not separate the information about the earlier/later name or title and give it in a 675 field.

670 \$a Strafvollzug, 1985 \$b t.p. (Rechtsgeschichte) p. 2
(Continues: Veröffentlichungen / Justizministerium Nordrhein-
Westfalen)

Data must be given in romanized form. Normally it is understood that the cataloger has provided the romanization; therefore, when transcribing romanization found in the source, add after it the bracketed phrase **[in rom.]**.

In such languages as Arabic and Hebrew, vowels are commonly omitted from the orthography of texts, and the cataloger supplies the missing vowels in transcribing data. When transcribing text that does include the vowels, add after it in brackets [**voc.**] or [**part voc.**] as appropriate.

Internet resources

These instructions apply to electronic resources being cataloged and to resources used as reference sources.

Give the title of the Internet resource and the date it was consulted in subfield \$a. In subfield \$b, give a location within the resource (e.g., home page, about page, HTML title, t.p. of .pdf), if appropriate, and the information found.

Catalogers may *optionally* provide a uniform resource identifier (URI) in the 670 citation to link to the cited resource if it contains significant information related to the established heading that cannot be cited succinctly in the authority record. Note that use of a URI in the 670 \$u does not take the place of the requirement to cite relevant data in subfields \$a and \$b of the 670 field needed to support the heading or references (this information will continue to be available if the site changes or disappears). Do not provide URIs for general reference sources and/or web-based reference sources that are included in the LCRI (e.g., Contemporary Authors online, GNIS, GEOnet,). If a URI is included, it must be given in subfield \$u. If the URI contains a spacing tilde or a spacing underscore, replace the character with its corresponding hex code, preceded by the percent sign:

%7E for spacing tilde

%5F for spacing underscore

670 \$a British Oceanographic Data Centre WWW Home page, Sept. 6, 1995 \$b (BODC, est. Apr. 1989, developed British Oceanographic Data Service (BODS))

670 \$a AltaVista, viewed Dec. 4, 1997: \$b WWW page title screen (AltaVista, search network) HTML title (Alta Vista) additional screens (World Wide Web search engine developed by Digital Equipment Corp.)

670 \$a Harvard Business School Publishing Corporation gopher, Nov. 23, 1994 \$b main menu (Harvard Business School Publishing Corporation) readme (Harvard Business School Publishing)

Recording dates

To facilitate international contribution and use of authority records, when giving dates use the abbreviated forms for months given in AACR2 Appendix B.15. (The U.S. practice for

recording dates using numerals differs from the practice in some other countries). Do not change the style of dates in existing records.

Justifying references

Justify names or titles given as references by information cited from sources. However, justification is not required in the following cases:

- (1) References justified by rules or rule interpretations only, usually because the reference is derived from inverting, shortening, etc., the heading or giving a substitute form in the heading.
- (2) References made on the basis of the cataloger's awareness of different romanizations or orthographies.
- (3) Name/title cross references derived from the work being cataloged, from other works cataloged under the same heading, or from information in standard reference sources.
- (4) References made on the basis of information from the Library and Archives, Canada (cf. DCM Z1 Appendix 2: Canadian headings).
- (5) References to earlier/later headings of corporate bodies reflecting changes due to national orthographic reform, changes in government headings due to an official language change, or changes involving only a parent body to which the body being established is subordinate.
- (6) References made on the basis of information from the British Library as part of the English Short Title Catalogue project.
- (7) Optional references from pre-AACR 2 forms on SARs and on retrospective NARs.

Transcription of other data

NARs. Use judgment to determine how much data to record in the permanent authority record. Do not abbreviate or translate distinguishing terms (e.g., titles of address or office) that appear in conjunction with personal names in statements of responsibility and that potentially could be used as part of the heading. Other data may be abbreviated or summarized. Generally informally translate other data from foreign languages into English, paraphrasing or summarizing as convenient.

SARs. Use judgment to determine how much data other than forms of the title/phrase to record in the permanent authority record. Numbering and names of issuing bodies are not

required but may be given.

Special types of citations

The most commonly occurring citations are listed below. If these are not appropriate, devise others as needed.

LC database. For LC catalogers not working in OCLC and RLIN, “LC database” as used in a 670 subfield \$a equals name/series authority records and bibliographic records with the following values in the 906 \$b: cbc, cbu, rip, par, and vip. Note that PREMARC records are now included in those categories of bibliographic records. (LC catalogers: See the separate document about policy decisions related to local authority control and PREMARC records.)

For LC catalogers working in OCLC and RLIN and for NACO participants, there is no change in what is considered to be the “LC database” as used in 670 subfield \$a.

NARs. Give the date of the search, using month abbreviations. In parentheses, prefaced by the label **hdg.:** (or **MLC hdg.:** if appropriate), give the heading (or headings) found, even if it is the same as the current heading.

If different forms of the name exist in the bibliographic records, record the heading and also any forms found, including usage identical to the heading. Separate the heading from the other forms, and preface the other forms with an appropriate label, e.g., **usage:**¹ or **variant:**² Do not normally cite specific bibliographic records or the exact location of the variations found.

670 \$a LC database, Jan. 31, 1992 \$b (hdg.: Rivière, Pierre,
1815-1840)

¹ “Usage” on bibliographic records refers to literal transcriptions of the forms of name usually found in records' statement of responsibility. Literal transcriptions may also appear in other parts of the bibliographic record, such as in the title proper or in a quoted note. Be sure that you are recording the transcription of the name as it appeared on the publication and not as it was formulated because of cataloging rules. Be especially careful when taking information from the publication, distribution, etc., area and from series statements. Headings may never be provided as usage.

² “Variant” on bibliographic records refers to a form of the name other than a literal transcription, e.g., a form found in the publication, distribution, etc. area or in an unquoted note; normally, there is not a need to cite such a variant in a 670 field. This understanding of “variant” within the context of a database does not refer to the varying forms of name found on an item not selected as the form used for the heading.

670 \$a LC database, Aug. 24, 1982: \$b (hdg.: Sociedade Brasileira pelo Progresso da Ciencia; usage: Sociedade Brasileira para o Progresso da Ciencia, SBPC)

670 \$a LC database, Mar. 11, 1996 \$b (hdg.: Swedish American Corporation; variant: Swedish American Corp.)

SARs. Give the date of the search, using month abbreviations, followed by the citation of the bibliographic record. In parentheses give the series statement found in that record.

670 \$a LC database, Nov. 28, 1983, Les Déchets ménagers, c1980 \$b (Les cahiers de l'AGHTM)

Minimal level cataloging records and less than fully authenticated serial records. Authority work normally has not been done for headings used in minimal level cataloging records and less than fully authenticated serial records (authentication field 042 does not contain any one of the codes lc, lcd, nlc, or gpo). It may be necessary to reconsider the formulation of the heading. If the established heading is different, do necessary bibliographic file maintenance. Also, an MLC or less than fully authenticated serial record might provide useful information, such as a birth date not given elsewhere or usage not otherwise available. Do not routinely cite MLC headings. However, when the information is useful, document its source in the 670 field, e.g., **MLC hdg.:** or **Less than fully authenticated serial usage:**

LC manual authority card. *LC practice:* When formulating the 670 citation for a manual authority card citation, use either **LC manual auth. cd.** or **LC manual cat.** (i.e., authority and bibliographic records) as appropriate. Summarize and record data found, without specifying individual works cited on the manual authority card or other sources of information which may have been mentioned there.

Citing other files or catalogs. If a heading is found in other manual catalogs or online databases, use judgment in creating a 670 citation. Begin the 670 field with a designation of the catalog/database in which these other bibliographic records were found. There is no prescribed formulation of such citations; examples are listed below:

670 \$a LC in OCLC, date: \$b ([data])
 670 \$a RLIN, date \$b ([data])
 670 \$a M/B/RS Collections Authority file \$b ([data])
 670 \$a New Delhi MARC file \$b ([data])
 670 \$a MWA/NAIP files \$b (hdg.: ____; usage: ____; variants: ____)
 670 \$a NUC pre-56: \$b ([data])
 670 \$a NRMM \$b ([data])

Library of Congress staff working with the National Union Catalog (NUC) reports used specific library reports in the 670 citations when creating name authority

records.

670 \$a nuc85-70017: Lower and middle Pennsylvania stratigraphy ... 1982 \$b (hdg. on AAP rept.: Sutherland, Patrick Kennedy, 1925- ; usage: Patrick K. Sutherland)

Reference works. Cite reference sources and the information found in them as briefly as possible within the requirements of intelligibility already stated, e.g.:

670 \$a DNB \$b ([data])
 670 \$a Harvard dict. of music \$b ([data])
 670 \$a Comp. diss. index: \$b ([data])
 670 \$a WW sci. Europe, 1991 \$b ([data])
 670 \$a Banker's alm./yrbk., 1991: \$b ([data])

A list of previously used abbreviations for some national bibliographies is in *Cataloging Service Bulletin*, no. 22 (fall 1983).

BGN. For geographic names established on the basis of information from the United States Board on Geographic Names,³ convey a designated short form of name by adding within brackets immediately after the appropriate element the statement [short form]. Repeat the short form if needed for clarity. Do this even if the long form is chosen for the heading. Retain the phrases “[conventional],” “[language],” etc., when used by BGN. Give the date of the search in the online file and include the feature designation (e.g., ADM1, PPL), coordinates, and variants. If searching the latest available published gazetteer because online access is not available, do not include the date but do include the feature designation and coordinates. Note: In the published gazetteers the short form is shown with the use of boldface type.

	670 \$a GEOnet, June 13, 1989 \$b (Coast [short form] Province; ADM1, 3°00'S 39°30'E)	
<i>or</i>	670 \$a BGN \$b (Coast [short form] Province; ADM1, 3°00'S 39°30'E)	
	670 \$a GEOnet, July 7, 1992 \$b (Varese [short form] Provincia di; ADM2, 45°48'N 8°48'E)	
<i>or</i>	670 \$a BGN \$b (Varese [short form], Provincia di; PROV, 45°48'N 8°48'E)	
	670 \$a GEOnet, Apr. 31, 1996 \$b (Geneva [conventional]; Genève [native], PPL, 46°12'N 6°10'E; variants:	

³ Published gazetteers or World Wide Web sites (GNIS (domestic information: URL: <http://geonames.usgs.gov>; GEOnet (foreign information: URL: <http://164.214.2.59/gns/html/>))

Ginevra, Genf)
or 670 \$a BGN \$b (Genève [French], Geneva [conventional];
 POPL, 46°12'N 6°10'E)
 670 \$a GEOnet, Sept. 28, 2001 \$b (Cambridgeshire [short form
 = Cambridge]; ADM1, 52°12'N 0°07'E)

Non-bibliographic sources. Give the non-bibliographic source, the date, and the information. The source can be given specifically (“Letter from author,” “Phone call to publisher,” etc.) or in general terms (“Information from author,” “Information from publisher,” etc.). When noting a specific source, it isn't necessary to show how information was received, e.g., that letter was received via FAX rather than via mail. When a telephone call to a publisher/agency/organization is cited, usually give the name of the group called, rather than the title or name of the person contacted.

670 \$a Phone call to H. Jones, Jan. 31, 1992 \$b (Harry Jones
 is real name of Lionel Jones)
 670 \$a Letter from author, May 29, 1994 \$b (correct
 birthdate for _____ is Oct. 14, 1950)
 670 \$a Information from publisher, Feb. 6, 1991 \$b (James
 Allan's middle name is Stephen, not Steven)
 670 \$a Information from OCLC, Mar. 8, 1996 \$b (_____)

7XX Heading Linking Entries

General

The use of this field in NARs or SARs is limited to recording the authorized form of name from a national bibliography. The purpose of including a 7XX in a NAR or SAR is usually to allow a National Bibliography Agency (NBA) to retain its preferred form of name in its own bibliographic database, while still contributing name authority records to the national authority file (NAF) under NACO standards.

Indicators

Use the appropriate first indicator. Use second indicator value 7 (the value most appropriate for this application of the 7XX field).

Subfield \$2

A 7XX field using second indicator value 7 must contain a subfield \$2 and a code to identify the source of the heading.

A NBA, such as a national library or other agency responsible for maintaining a national bibliography, must apply to the LC Network Development and MARC Standards Office (NDMSO) to obtain a code which will become part of the *MARC Code List for Relators, Sources, Description Conventions*. Information on the process of applying for codes is available from the NDMSO ndmso@loc.gov, or at: <http://lcweb.loc.gov/marc/relators/>

MARC 21 model: 7XX for alternate authorized form of name

Consult the LC Cooperative Cataloging Team before including 7XX fields in NARs or SARs.

Initially, the 7XX model will be limited to records created by NBAs and under certain conditions by designated NACO contributors authorized by the NBA from within the same geographic jurisdiction, for the sole purpose of recording the form of heading used in its national bibliography.

NACO contributors from within the same geographic jurisdiction as the NBA that wish to create or modify 7XX headings should request permission directly from the NBA that controls the national bibliography. These arrangements are to be made between the NBA and the individual institution and will not be administered by the PCC or the Library of Congress;

nonetheless, the NBA is expected to notify the Cooperative Cataloging Team when making these agreements and provide a list of libraries authorized to create or modify 7XX fields. The responsibility for applying for a subfield \$2 code resides with the NBA; once the proper code is identified, it should be used as needed in 7XX fields input by any library.

This policy will be evaluated after a sufficient period of using the 7XX approach, but not sooner than a year.

Guidelines for including 7XX and subfield \$2 in an authority record

A NBA or NBA-designated NACO library may include an alternate authorized form of name in a new or extant NACO record in the 7XX field as defined by the *MARC 21 Authority Format* and NACO guidelines:

- The NBA should consult with the Cooperative Cataloging Team before using 7XX fields in name or series authority records.
- The 7XX must include a subfield \$2 code to identify the NBA's authority file as the source of the name in the 7XX. The source code should be requested from the LC NDMSO by the appropriate national library or NBA.
- A 7XX heading in a NACO record may be modified only by the NBA and/or a NBA-designated NACO library.
- The NBA and/or NBA-designated NACO library contributing the 7XX form is responsible for any maintenance to the NAR if the form of name authorized by the NBA changes.
- The NBA is advised to consider the impact of 7XX fields on its internally-used system (e.g., indexing, record maintenance) and consult with its system vendor prior to using 7XX fields.

Sample record

1XX __ \$a [Authorized NACO AACR2 form]
 4XX __ \$a [Variant form]
 670 ## \$a [Citation] \$b t.p. ([Usage or 1XX]) p. 5 ([Usage for
 4XX])
 7XX 17 \$a [Alternate authorized form] \$2 [source code]

Current status of the 7XX in the NAF

NACO records containing 7XX fields are distributed by the LC Cataloging Distribution Service, as are all name authority records in the LC/NAF. The 7XX fields have been implemented in the LC ILS, but LC does not yet use the 7XX fields in its own cataloging.

LC/NACO practice: Allow the 7XX fields to remain in records unchanged.

APPENDIX 1: HEADINGS FOR AMBIGUOUS ENTITIES

Headings for Ambiguous Entities

1 INTRODUCTION

1.1 Background

Most headings fall into clearly defined categories and are established either as personal names, corporate bodies, jurisdictions, uniform titles, named meetings, etc., in the name authority file or as topical subject headings, named objects such as names of automobiles, geographical features, etc., in the subject authority file. There are, however, certain named entities that have been problematic as to

- a) whether the heading should go into the name authority file (descriptive cataloging) or the subject authority file (subject cataloging); and
- b) how the headings should be tagged in both authority and bibliographic records.

To eliminate this confusion and to standardize the formulation and tagging of headings for such entities, the former Office for Descriptive Cataloging Policy (Desc Pol) and the Office for Subject Cataloging Policy (Subj Pol), working under the aegis of the Director for Cataloging, developed guidelines with respect to

- a) the responsibility for establishing the headings;
- b) the conventions to be used in formulating the headings;
- c) the tags to be used for content designation; and
- d) the file (name and subject authority) in which the authority records for them should reside.

In 1994, the Cooperative Cataloging Council (CCC) established the CPSO/CCC Task Group on Issues Surrounding Maintenance of Separate Name and Subject Authority Files. This task group agreed to reduce the “logical” inconsistencies between the two files so that they could be more easily used together. To this end the task group recommended and the CCC approved the deletion from the subject authority file of duplicate name headings that had been needed in the subject authority file to produce various products, such as *Library of Congress Subject Headings*.

In 1995 the Program for Cooperative Cataloging (PCC) (successor to the CCC) created a follow-on task group. PCC Task Group on Name Versus Subject Authorities, that considered and made recommendations on the remaining categories of headings that could be established by either descriptive or subject catalogers (cemeteries, city sections, concentration camps, and country clubs), events, and tagging conventions for certain “geographic” entities. The PCC approved the task group's recommendations, and the results are reflected below.

1.2. General guidelines

a) These guidelines relate primarily to the family of problem cases, not to the ones that are clear-cut. For example, the tagging decisions appended include some entities that are within the concept “corporate body” but are also judged to exemplify the concept “geographic” and, therefore, are tagged 151. (Note that when entities tagged 151 in the authority file are used as main or added entries in bibliographic records (110, 710, 810), the first indicator is set to the value 1.) Care should be taken, however, that a name containing one of the terms noted in one of the lists is indeed a member of that category, e.g., Xavier Ranch Corporation is not a ranch in the sense of the Group 2 list.

b) The provisions herein refer to “need” or “use” in descriptive or subject cataloging. As far as descriptive cataloging is concerned, such statements are to be understood as referring to main or added entry headings required by LC’s policies on main and added entries and to cross references traced on name and series authority records. “Need” and “use” do not refer to subject entries even if a descriptive heading is involved.

c) When using an existing heading in an access point on a new record, adjust the tagging on existing authority and bibliographic records to reflect current policy.

d) When changing the form of an existing heading, adjust the tagging on existing authority and bibliographic records to reflect current policy. (Note that a qualifier may need to be added, or the type of qualifier may need to be changed.)

e) *NACO libraries*. If a Group 2—Subject Authority Group heading is being used as a main or added entry, the NACO library should notify the Cooperative Cataloging Team (Coop), RCCD and provide a brief explanation. Coop will then consult with Cataloging Policy and Support Office (CPSO) and report back to the NACO library. If the heading is being used as a subject entry only or if the main or added entry is not in accord with LC’s policies on main and added entries, the NACO library will be notified *not* to submit a name authority record.

f) *Canada*. Follow normal routines for verification with the Library and Archives, Canada (LAC) (cf. DCM C2) and then with the LAC response, apply also the directions in Appendix 2 of this DCM. (Note that this applies to main and added entries used in descriptive cataloging only.)

1.3 Specific procedures

Headings have been divided into two groups, and special instructions for both these groups follow. Lists of the two groups of headings are given at the end of this DCM. The lists are updated as the need arises; refer potential additions to CPSO.

- 2** **GROUP 1—NAME AUTHORITY GROUP:** Headings always established according to descriptive cataloging guidelines (AACR2 and LCRI); authority record always resides in the name authority file.

2.1 **Implementation**

Establish the headings according to the usual descriptive cataloging rules and procedures. If a heading in this category is needed in subject cataloging, those involved in descriptive cataloging establish it, and the authority record is added to the name authority file.

2.2 *Airports*

Establish the heading for an airport according to the provisions for any other corporate body (see *Library of Congress Rule Interpretations* (LCRI) 24.1).

110 2# \$a San Francisco International Airport¹
 110 2# \$a Logan International Airport (Boston, Mass.)
 110 2# \$a Jan Smuts Airport (Johannesburg, South Africa)
 110 2# \$a Greater Cincinnati International Airport
 110 2# \$a Davis Airport (Montgomery County, Md.)
 110 2# \$a Davis Airport (Luzerne County, Pa.)

2.3 *Arboretums, botanical gardens, herbariums, zoological gardens, etc.*

These Group 1 entities are tagged as corporate names (110) and established according to chapter 24 of AACR2. For other gardens, parks, etc., see Group 2.

110 2# \$a State Arboretum of Utah
 110 2# \$a Missouri Botanical Garden
 110 2# \$a National Zoological Park (U.S.)
 110 2# \$a Hayden Planetarium
 110 2# \$a Miami Seaquarium

2.4 *Cemeteries, concentration camps, country clubs*

After July 1996, Cemeteries, concentration camps, and country clubs are treated only as Group 1 headings. Establish them in accordance with the general principles for corporate name headings (chapter 24, AACR2) (see LCRI 24.1).

110 2# \$a Arlington National Cemetery (Arlington, Va.)

¹MARC coding in the examples reflects the provisions of *MARC 21 Format for Authority Data* (except spaces added before and after subfield codes) and not any individual system.

110 2# \$a Riverside Cemetery (Jackson, Tenn.)
110 2# \$a Cmentarz Ewangelicko-Augsburski w Warszawie
(Warsaw, Poland)

110 2# \$a Auschwitz (Concentration camp)
110 2# \$a Nēsos Gyaros

110 2# \$a Riomar Country Club
110 2# \$a Manteno Young Women's Country Club

2.5 *City sections*

City sections, including city districts and neighborhoods, are treated only as Group 1 headings. Establish them in accordance with the general principles for geographic names (chapter 23, AACR2, especially 23.4F2) (see LCRI 23.4F2).

151 ## \$a Georgetown (Washington, D.C.)
151 ## \$a Greenwich Village (New York, N.Y.)
151 ## \$a Loop (Chicago, Ill.)
151 ## \$a Rive gauche (Paris, France)

2.6 *Collective settlements, conservation districts, communes, sanitation districts, etc.*

Collective settlements, conservation districts, communes, sanitation districts, etc., are treated only as Group 1 headings. Establish them in accordance with the general principles for geographic names (chapter 23, AACR2).

151 ## \$a Amana Society (Iowa)
151 ## \$a Santa Cruz County Sanitation District (Calif.)
151 ## \$a Englewood Water District (Fla.)
151 ## \$a Chicago Park District (Ill.)

2.7 *Events*

If a name is for an event that is formally convened, directed toward a common goal, capable of being reconvened, and has a formal name, location, date, and duration that can be determined in advance of the date, establish the name according to the provisions of chapter 24, AACR2 (see LCRI 24.7 and 24.8).

111 2# \$a Rose Bowl (Football game)
111 2# \$a Tournament of Roses
111 2# \$a Miss America Pageant
111 2# \$a World Cup (Soccer game)
111 2# \$a Tour de France (Race)

- | | |
|---|---|
| 1 | 2 |
|---|---|

6

Establish railroads in accord with the general principles for corporate name headings (AACR2, chapter 24). During the period 1984-1985, railroad headings were established according to the conventions of the former Subject Cataloging Division. Generally, a railroad heading represented by an AACR2 name authority record should be accepted unless the item being cataloged shows another form, *and* the item is the railroad's own publication. In such cases re-evaluate the existing heading. At one time, railroads were represented by two separate headings, one for the company, which was tagged as a corporate heading, and another for the line, which was tagged as a topical subject heading. To locate all existing bibliographic records for a railroad when a name authority record for it needs to be created or coded for AACR2, search for the name both as a corporate body and as a topical subject heading.

- 3** **GROUP 2—SUBJECT AUTHORITY GROUP:** Headings always established according to subject cataloging guidelines (*Subject Cataloging Manual: Subject Headings* (SCM:SH)); the authority record resides either in the subject or name authority file

N.B. This section of the DCM is given primarily for information: the responsibility for the establishment and maintenance of Group 2 headings rests entirely with those performing subject cataloging. See *Subject Cataloging Manual: Subject Headings*, H405.

3.1 Characteristics

The headings in this group reside in the subject authority file whenever they are established and used only for subject purposes. Those that are tagged 110 and some tagged 151 are also candidates for descriptive cataloging use as the need arises. These headings then reside in the name authority file whenever they are established according to subject cataloging guidelines for the name authority file because of a need for one as a descriptive cataloging access point, or whenever they are needed for such a purpose after having been established only for subject purposes. When these headings are established, they are established according to AACR2, but also reflect subject cataloging policy, the most noteworthy aspects being the following:

- a) The 4XX reference structure reflects subject cataloging practice. Linking references to old catalog headings are not used except for records residing in the name authority file and if supplied for subject cataloging purposes at the time the heading is requested to be established for descriptive cataloging use. (At the point Group 2 headings go into the name authority file, they must also carry the descriptive cataloging reference structure.)
- b) Most headings will contain local place-name qualifiers.
- c) Records residing in the name authority file will also contain a 667 field

with the notation: Subj Cat Manual/AACR2. This notation is intended to characterize the record and to provide a quick and easy means of indicating that maintenance of the record is the responsibility of CPSO. Catalogers should then refer changes to CPSO, rather than initiating the changes themselves.

3.2 Use of these headings in descriptive cataloging

Note the following:

- a) If the heading is in the subject authority file but not represented in the name authority file, request CPSO to move the heading. Send the item to CPSO with the regular orange referral slip (form 6-127) showing the request.
- b) If the heading is represented in the name authority file and is coded AACR2, use that form whether or not it conforms to the characteristics described above in 3.1 but barring any change *to the heading* that might be stimulated by the item being cataloged; if the item stimulates a need to change the heading, refer the matter to CPSO for evaluation and related actions (as in a) above).
- c) If the heading is represented in the name authority file but not coded for AACR2, refer the matter to CPSO for evaluation and possible change and related actions (as in a) above).
- d) If the heading is not represented in an authority file, establish it according to the guidelines in SCM:SH.

GROUP 1—NAME AUTHORITY GROUP HEADINGS

(Named entities always established according to descriptive cataloging guidelines and always residing in the name authority file)

Category	MARC 21 tag
Abbeys	110
Academies	110
Airplanes, Named	110
Airports ²	110
Almshouses	110
Aquariums, Public ³	110
Arboretums ³	110
Art works, Individual	100, 110, 130
Artificial satellites	110
Asylums (Charitable institutions)	110
Athletic contests	111
Banks	110
Bars	110
Biblical characters	100
Biological stations	110
Boards of trade	110
(Chambers of commerce)	
Botanical gardens ³	110
Broadcasting stations	110
Cathedrals	110
Cemeteries ⁴	110
Chambers of Commerce	110
Chapels	110
Churches (In use or ruins)	110
Circuses	110
City sections ⁵	151
Collective settlements ⁶	151

²See 2.2

³See 2.3

⁴See 2.4

⁵See 2.5

⁶See 2.6

Colleges	110
Comic strips ⁷	130
Communes ⁶	151
Competitions ⁸	111
Computer programs and software ⁷	130
Concentration camps ⁴	110
Concert halls	110
Conservation districts ⁶	151
Contests ⁸	111
Convents	110
Correctional institutions	110
Country clubs ⁴	110
Crematories	110
Dance halls	110
Denominations, Religious (Individual)	110
Dispensaries	110
Ecclesiastical entities that are also names of places, e.g., Basel (Switzerland : Ecclesiastical principality)	110
Ecological stations	110
Educational institutions	110
Electronic discussion groups	130
Embassies	110
Events ⁸	111
Exhibitions ⁸	111
Expeditions, Military	111
Expeditions, Scientific	111
Experiment stations	110
Expositions ⁸	111
Factories	110
Fairs ⁸	111
Festivals and celebrations ⁸	111
Folk festivals and celebrations ⁸	111
Forests (as agencies)	110
Forests districts	110
Funds	110
Funeral homes, mortuaries	110
Galleries	110
Games (Events) ⁸	111

⁷ Although headings in this category are generally established under title and tagged 130, those that are established under personal or corporate names are tagged 100 or 110.

⁸ See 2.7

Halfway houses	110
Helplines, hotlines	110
Herbariums ³	110
Hospitals	110
Hotels	110
Individual works of art	100, 110, 130
Jurisdictions, Ancient (other than cities)	151
Laboratories	110
Libraries	110
Library districts	110
Markets	110
Military installations	151
(Active; also all after 1899)	
Monasteries	110
Morgues	110
Mosques	110
Motels	110
Motion pictures	130
Museums ⁹	110
Night clubs	110
Nursing homes	110
Observatories	110
Old age homes	110
Opera houses	110
Orphanages	110
Parades ⁸	111
Park districts ⁶	151
Parks (as agencies) ¹⁰	110
Planetariums ³	110
Plans (Programs) ¹¹	110
Poorhouses	110
Port authorities	110
Prisons	110
Projects, plans, etc. ¹⁰	110
Public celebrations, pageants, anniversaries ⁸	111
Publishers' imprints	110
Pueblos	151
Races (Contests) ⁸	111

⁹See 2.9

¹⁰See 2.8

¹¹See 2.10

Radio programs	130
Railroads	110
Recreation districts ¹⁰	151
Religious denominations	110
Research stations	110
Reserves (as agencies)	110
Restaurants	110
Sanitoriums	110
Sanitation districts ⁶	151
Satellites, Artificial	110
School districts	110
Schools	110
Service stations	110
Ships	110
Shipyards	110
Shows (Exhibitions) ⁸	111
Software, Computer ⁷	130
Sound recording labels	110
Space vehicles	110
Sporting events ⁸	111
Stock exchanges	110
Stores, Retail	110
Studies (Research projects)	110
Synagogues	110
Television programs	130
Temples (in use; excludes temples in ruins)	110
Theater companies	110
Tournaments ⁸	111
Tribes (as legal entities only, U.S. only)	151
Truck stops	110
Undertakers	110
Universities	110
Utility districts ⁶	151
Water districts ⁶	151
Works of art, Individual	100, 110, 130
Zoological gardens ³	110

GROUP 2—SUBJECT AUTHORITY GROUP HEADINGS

(Named entities always established according to subject cataloging guidelines and residing in either the name or subject authority file)

Category	MARC 21 tag
Amusement parks	151

Apartment houses	110
Arenas	110
Armories	110
Artists' groups	150
Asian conglomerate corporations	110
Astronomical features (asteroids, comets, galaxies, planets, etc.)	151
Auditoriums	110
Awards	150
Bathhouses	110
Baths, Ancient	110
Bridges	151
Building details	150
Buildings, Private	110
Buildings occupied by corporate bodies ⁹	110
Bus terminals	110
Camps	151
Canals	151
Capitols	110
Castles ⁸	110
Celestial bodies	151
Cities, Extinct (Pre-1500) ¹²	151
City halls	110
Civic centers	110
Clans	100
Club houses	110
Coliseums	110
Collections, Public or Private	110
Collective farms	151
Community centers	110
Computer languages	150
Computer networks	150
Computer systems	150
Convention centers	110
Courthouses	110
Customhouses	110
Details, Building	150
Docks	151
Doors	150
Dwellings ⁹	110
Estates	151

¹²For instructions on establishing and applying headings for extinct cities, see SCM:SH H715.

Events ¹³	150
Exhibition buildings	110
Families	100
Farms	151
Feasts	150
Ferry buildings	110
Fire stations	110
Forests	151
Fortresses (Structures)	151
Fountains	150
Gangs	150
Gardens	151
Gates	150
Golf courses	151
Grain elevators	110
Gymnasiums	110
Hazardous waste sites	151
Highways	151
Historic sites	
(Including historic districts not in cities)	151
Immigration stations	110
Islands, Non-jurisdictional	151
Land grants	151
Lighthouses	110
Manors	110
Mansions	110
Market buildings	110
Military installations	151
(Before 1900 <i>and</i> inactive)	
Mine buildings	110
Mines	151
Mints	110
Monuments (Structures, statues, etc.)	150
Music halls	110
Office buildings	110
Official residences	110
Palaces ⁹	110
Parks	151
Pavilions	110
Playgrounds	151
Plazas (Open spaces, squares. etc.)	151

¹³Events that generally cannot be repeated and have no formal name but are commonly referred to by generic terms only.

Police stations	110
Pools, Public	151
Ports (Physical facilities)	151
Post offices	110
Power plants	110
Presidential mansions	110
Public comfort stations	110
Racetracks	110
Railway stations	110
Ranches	151
Recreation areas	151
Refugee camps	151
Reservations, Indian	151
Reserves (Parks, forests, etc.)	151
Resorts	110
Roads	151
Rooms	150
Sanitary landfills	151
Satellites (i.e., moons)	151
Schools of artists	150
Shopping centers	110
Shrines (<i>not</i> churches)	150
Spas	110
Sport arenas	110
Sports facilities	110
Stadiums	110
Stagecoach stations	110
Streets	151
Structures (Non-geographic, e.g., towers)	150
Temples (In ruins)	110
Terminal buildings	110
Theater buildings	110
Theme parks	151
Tombs	150
Towers	150
Trails	151
Tribes (Ethnic groups)	150
Tunnels	151
Villas	110
Walls	150
Waterways	151

1.3. Conference Name Headings:

Use judgment in considering meetings held in Canada as “Canadian.” For example, if an international conference happens to meet in Canada, it is not necessary to verify its heading according to these instructions.

1.4. Geographic headings:

The LAC form of the geographic headings will be used without modification (cf. LCRI 23.2) When a geographic heading is not found in Canadian CIP data, access points on current LAC bibliographic records, or by searching the AMICUS authority file LAC must be contacted in order to verify the form of the name.

LAC has notified CPSO that names of Canadian First Nations should continue to be established as 110 headings until such time as LAC notifies LC of a change.

1.5. CIP Cataloging:

When a Canadian corporate heading is needed for a CIP item and the heading is not found in the AMICUS database, LC cataloger's will create a NAR based on the information in the item, etc. save it to the database and then send a message to LAC for verification of the name.

1.6. Contacting LAC:

LC catalogers: LAC may be contacted through the LAC Division Liaison (cf., Section 9) or through the LAC Liaison in the Coop Team in RCCD. Catalogers should send an e-mail with the name in the exact form in which it appears on the publication(s), including any hierarchical information which may be available, give the date of the publication and, whenever possible, the source of the name, e.g., “t.p.,” “incl. in title,” “preface.”

PCC catalogers: Participants will continue to request verification of LAC corporate names as needed. Participants may send an e-mail with the name in the exact form in which it appears on the publication(s), including any hierarchical information which may be available, give the date of the publication and, whenever possible, the source of the name, e.g., “t.p.,” “incl. in title,” “preface,” or the information may be faxed, etc.

The Coop liaison will contact LAC for verification of corporate name headings and subsequently return the information to the PCC participant for further processing. The Coop liaison will not adapt the LAC heading for inclusion into the LC Database on behalf of the external user nor should the LAC MARC identification code be used in the 040 of the name authority record created by the PCC participant.

2. Guidelines for Establishing Canadian Personal Names.

The LAC form is used for personal name headings on bibliographic records for items with Canadian imprints (i.e., the name of a Canadian city appears as the primary (first) place of publication) in the following cases:

A. The heading is being newly established;

or,

B. The heading has been established but the AACR2 form has not yet been assigned, and the current form is not the AACR2 form that would be assigned based on information in the database being cataloged against (i.e., accept the LAC form instead of formulating an LC/PCC form)

2.1. Sources for personal name headings:

Canadian CIP data:

General: Look for the LAC form of heading in the Canadian CIP entry in the book. If found, create an NAR as usual, giving as the first 670 the title of the item being cataloged and cite the Canadian CIP entry in the 670 “Sources found” field. Cite also the Canadian CIP entry as part of the same 670, even if the information is exactly the same:

e.g.: Social inequality, c1984: t.p. (Edward G. Grabb) Can CIP (Grabb, Edward G.)

LC catalogers: If there is no Canadian CIP, search the AMICUS authority file. If the heading is found in the AMICUS authority file, import the record, editing it according to the “LAC Name Authority Record Adapt Procedures for LC Catalogers.”

PCC catalogers: If there is no Canadian CIP, send a message to the Coop liaison to execute an AMICUS search for the name in question. If information is found the liaison will return the information to the participant who will create the authority record as usual, based on the information supplied by the Coop Team. Cite the AMICUS database search according to the guidelines in DCM Z1, 670 field (e.g., LAC database, date \$b hdg.:_____)

General: If the LAC form is not found in these sources, establish the name according to usual procedures. Do not refer the name to LAC for special verification. Cite LAC and the date of the search in the 675 “sources not found” field.

Note: CIP data may be found to be incorrect. Catalogers should use judgement in

determining if additional searching is needed and/or if the heading should be accepted “as is.” In the interest of efficiency a quick decision is encouraged; however, do not query LAC on the form of the heading. If necessary establish the name according to usual LC practice and record the LAC form in a 670 citation.

Access points on current LAC bibliographic records:

General: If the heading being formulated is found as an access point on a current LAC bibliographic record, catalogers may create an NAR based on that information. If the LAC bibliographic record is the same item being cataloged give as the first 670 the title of the item with subfield \$b information as per usual. If the heading on the same titled LAC bibliographic record contains a date, fuller form of name, etc. not found in the item-in-hand use judgement in formulating a cogent citation.

670 \$a When the fat man sings, 2002: \$b t.p. (Liz McKeen) LAC hdg. (McKeen, Liz, 1952-)

If it is not the same, cite the LAC heading in a second 670 citing the form of the heading and the usage found in the 245 subfield \$c of the bibliographic record, as per usual.

670 \$a OCLC database, date \$b (LAC hdg: Grabb, Edward G.; usage: Edward G. Grabb)
or
670 \$a AMICUS database, date \$b (LAC hdg: Grabb, Edward G.; usage: Edward G. Grabb)

2.2. Conflict with another personal name:

If the form found in the AMICUS authority file or in the Canadian CIP would conflict with another heading, do not use it. Instead, establish the name according to usual LC practice and record the LAC form in a 670 citation.

2.3. LC heading in LC database for Canadian personal name:

If the existing LC heading matches the LAC heading except that the LAC heading includes a date, accept the existing LC heading as the AACR2 form, i.e., do not change the heading to add the date, and vice versa. (Dates added to personal name heading are additions to the heading and are not considered when comparing forms)

Note: When establishing a new heading and the LC or PCC cataloger has date

information but there is no conflict, do not include the date whenever the LAC form does not show this addition.

2.4. Personal Name References:

For personal names, accept LAC references without justification; however, assure that these are formulated according to current LC conventions and practices (cf. DCM Z1, LCRI Chapter 22 and 26, etc.). Justify any references generated by new cataloging as per usual.

3. Guidelines for Establishing LAC Corporate Names.

3.1. Capitalization/Punctuation:

If the LAC form differs from the LC/PCC AACR2 practice for capitalization or punctuation, accept the LAC form.

3.2. Conferences:

LAC establishes ongoing conferences with qualifiers for each individual conference. Delete these qualifiers and establish one authority record for the series of conferences (cf. LCRI 24.7B).

3.3. Corporate names exceptions:

If LAC indicates that the name is not a corporate body (e.g., a plan, a project) establish the heading according to the usual LC/PCC practice. Record the LAC decision in the 670 field.

LAC treats the Religious Society of Friends as a corporate body but LC treats it as a subject heading. LC/NACO practice is to establish Society of Friends "meetings," etc., directly under their own names whereas LAC establishes these entities subordinate to "Society of Friends." LAC has agreed that LC/NACO libraries do not have to contact LAC for Canadian corporate bodies associated with the Society of Friends.

LAC has notified CPSO that all headings for Canadian parks and forests will continue to be established as subject headings (cf. *Subject Cataloging Manual: Subject Headings*, H1925, *Parks, Reserves, National Monuments*) and therefore, do not fall under the guidelines provided in LCRI 24.1 for U.S. parks and forests.

LAC has also notified CPSO that Canadian First Nations will continue to be established as 110 corporate name headings until further notice.

Catalogers should contact CPSO if there are any questions on these points.

3.4. French vs. English:

LC/PCC practice is to establish Canadian corporate names in English whenever possible, the exception being headings for Québec corporate names which LC establishes in French. LAC practice is to establish all corporate headings in both English and French whenever possible—meaning that the two forms appear on works they have in hand. This means for many headings, there are separate and complete authority records in the English form and in the French form. There may also be some headings with a combination of the French and English. It is always necessary to search for the English form in the AMICUS database for use in establishing the heading.

3.5. Canadian Corporate Headings for Québec:

In 1974 the government of Québec established French as the sole official language of the province. As a result, for LC/PCC, English headings for Québec government bodies are obsolete for the period that begins with the change of official language. For publication issued through the end of 1974, an English heading is proper. For publications issued 1975- , use a French heading.

LAC verifies two heading for bodies that existed before and after the 1974/75 dividing line: an English one (through 1974) and a French one (1975-)

In the case of headings for non-government bodies in Québec, also accept LAC's verification in French (even, for example, if the work being cataloged is in English). There are some purely English-language private bodies in Québec, and LAC verifies these in English. For those verified in French that cross the language policy divide, apply the provisions given above for government bodies.

If the French form is chosen as the appropriate heading and it includes a qualifying term that has been given in French, change the qualifying term to the English term given in the LAC English equivalent heading. (In such cases the heading will be a "combination" of the French and English LAC headings.)

If a corporate name in French contains the diphthong "oe" which appears in the LAC form as separate letters rather than as a ligature, use the LAC form in the heading.

N.B. The system of counties no longer exists in Québec; the term Comté has been replaced by the new division *Municipalité régionale de comté*.

3.6. Source for corporate name headings:

The AMICUS authority file is the source for establishing name headings for Canadian corporate bodies not found in Canadian CIP data or on access points on current bibliographic records (see Section 2.1 “Sources for Personal Name headings” for examples of 670 citations for headings created based on these sources)

LC catalogers: If a corporate name heading is not found in the two sources above, or if the heading found appears to need updating or presents some other complication, search the AMICUS authority file through the Z39.50 access in the LC ILS. If a record for the heading is found, import the record, editing it according to the “LAC Name Authority Record Adapt Procedures for LC Catalogers.” If a record is not found, send a request to LAC to establish the heading for LC use (cf. 1.5).

PCC catalogers: If a corporate name heading is not found in the two sources above, or if the heading found appears to need updating or presents some other complication, search the AMICUS authority file, if the name is not found in the AMICUS authority file contact the Coop liaison for verification of the heading by LAC (cf. 1.5). Create the authority record as usual, based on the information supplied by the Coop Team. Cite either the AMICUS database or LAC according to the guidelines in DCM Z1, 670 field (e.g., LAC database, date \$b (hdg.:_____)) or LAC, date \$b (hdg.:_____))

3.7. Corporate Name References:

Trace “see” references found on LAC NARs or as provided by LAC unless incompatible with other existing entries; trace “see also” references given by LAC according to normal guidelines (cf. LCRI 26.3B-C). **Justification of these references is not necessary** (cf. DCM Z1). If a subfield \$w is found on a LAC NAR; analyze the reference to determine if this subfield is needed. Delete or adjust the subfield (or the reference) if it does not follow the current conventions in the *MARC 21 Authority Format* blue pages or the current cataloging policies.

Earlier/Later: When making connections between earlier and later corporate names, LAC formerly used simple “see also’s,” (no subfield \$w coding used). If using an older

LAC record, and If information is available, code the references earlier/later per LC practice.

Additional references may be given if required, justified according to normal practice.

4.1 Other general considerations:

Uniform titles (including series) are exempt from the LC/LAC agreement.

When modifying an existing LAC name authority record (i.e., 040 = \$a CaOONL \$b eng \$c CaOONL \$d DLC) which may contain MARC fields not generally created by LC/PCC catalogers (e.g., 016, 042, 7xXs) **do not delete** any of these fields unless these are found to contain errors.